

VIA E-FILE  
Form PTO-1449

Sheet 1 of 7

Applicant: Mark Lucovsky et al.

Serial No.: 10/003,750

Attorney Docket No.: 13768.198.1

Filing Date: October 22, 2001

Art Unit: 2152

Confirmation No.: 4906

For: IDENTITY-CENTRIC DATA ACCESS

---

INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Patent Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Sub Class</u>	<u>Class</u>	<u>Filing Date</u>
_____ A1.	5,872,926	02/16/99	Levac et al.	395	200.360	05/31/96
_____ A2.	6,092,101	07/18/00	Birrell et al.	709	206	06/16/97
_____ A3.	6,167,402	12/26/00	Yeager	707	10	04/27/98
_____ A4.	6,553,427	04/22/03	Chang et al.	719	314	07/24/98
_____ A5.	6,336,147	01/01/02	Brownell et al.	719	310	11/12/97
_____ A6.	6,336,118	01/01/02	Barton W. Hammond	707	103	12/03/98
_____ A7.	6,148,302	11/14/00	Beylin et al.	707	102	02/26/98
_____ A8.	5,634,129	05/27/97	Robert D. Dickinson	719	315	12/20/95
_____ A9.	5,544,302	08/06/96	Frank T. Nguyen	715	837	06/03/93
_____ A10.	6,088,675	7/11/00	MacKenty et al.	704	270	03/23/99
_____ A11.	6,154,876	11/28/00	Haley et al.	717	4	07/30/97
_____ A12.	6,223,207	04/24/01	Lucovsky	709	107	01/13/98

---

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

VIA E-FILE  
Form PTO-1449

Sheet 2 of 7

Applicant: Mark Lucovsky et al.

Serial No.: 10/003,750

Attorney Docket No.: 13768.198.1

Filing Date: October 22, 2001

Art Unit: 2152

Confirmation No.: 4906

For: IDENTITY-CENTRIC DATA ACCESS

---

U.S. Patent Documents (continued)

<u>Examiner Initial*</u>	<u>Patent Number</u>	<u>Issuance Date</u>	<u>Name</u>	<u>Sub Class</u>	<u>Filing Class</u>	<u>Date</u>
_____ A13.	6,282,548	08/28/01	Burner et al.	707	104	06/21/97
_____ A14.	6,349,302	02/19/02	Aoyama et al.	707	101	07/07/98
_____ A15.	6,370,537	04/09/02	Gilbert et al.	707	101	12/30/99
_____ A16.	6,195,662	02/27/01	Ellis et al.	707	103	06/26/98
_____ A17.	6,377,952	04/23/02	Inohara et al.	707	101	10/27/98
_____ A18.	6,654,747	11/25/03	Van Huben et al.	707	10	05/27/99
_____ A19.	6,684,204	01/27/04	Amrish K. Lal	707	3	06/19/00
_____ A20.	5,956,715	09/21/99	Glasser et al.	707	9	09/23/96
_____ A21.	6,202,066	11/18/98	Barkley et al.	707	9	11/18/98
_____ A22.	5,911,143	06/08/99	Deinhart et al.	707	103	08/14/95
_____ A23.	6,023,765	02/08/00	Richard D. Kuhn	726	4	11/20/97
_____ A24.	6,199,081	03/06/01	Meyerzon et al.	707	513	06/30/98
_____ A25.	6,351,843	02/26/02	Berkley et al.	717	128	08/31/98

---

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

VIA E-FILE  
Form PTO-1449

Sheet 3 of 7

Applicant: Mark Lucovsky et al.

Serial No.: 10/003,750

Attorney Docket No.: 13768.198.1

Filing Date: October 22, 2001

Art Unit: 2152

Confirmation No.: 4906

For: IDENTITY-CENTRIC DATA ACCESS

---

U.S. Patent Documents (continued)

Examiner Initial*	Patent Number	Issue Date	Name	Sub Class	Class	Filing Date
_____ A26.	6,542,845	04/01/03	Grucci et al.	702	122	09/29/00
_____ A27.	6,604,209	08/05/03	Grucci et al.	714	38	09/29/00
_____ A28.	6,490,721	12/03/02	Gorshkov et al.	717	130	07/09/99
_____ A29.	5,778,227	07/07/98	David A. Jordan	395	682	08/01/95
_____ A30.	6,044,224	03/28/00	Radia et al.	395	710	06/26/96

U.S. Patent Publication Documents

Examiner Initial*	Publication Number	Pub. Date	Name	Sub Class	Class	Filing Date
_____ A31.	2002/0029256	03/07/02	Zintel et al.	709	218	03/16/01
_____ A32.	2002/0133752	09/19/02	Wesley Hand	714	38	03/13/02
_____ A33.	2003/0074423	04/17/03	Mayberry et al.	709	219	10/11/01

---

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

VIA E-FILE  
Form PTO-1449

Sheet 4 of 7

Applicant: Mark Lucovsky et al.

Serial No.: 10/003,750

Attorney Docket No.: 13768.198.1

Filing Date: October 22, 2001

Art Unit: 2152

Confirmation No.: 4906

For: IDENTITY-CENTRIC DATA ACCESS

---

U.S. Patent Application Documents

Examiner Initial*	Application Number	Filing Date	Name
_____	A34. 60/275,809	03/14/01	Lucovsky et al.

Non-Patent Literature

Examiner

Initial\*

- \_\_\_\_\_ A35. Simple Object Access Protocol (SOAP) 1.1 W3C Note 08 May 2000 Don Box, DevelopMentor; David Ehnebuske, IBM; Gopal Kakivaya, Microsoft Anderw Layman, Microsoft; Noah Mendelsohn, Lotus Development Corp.; Henrik Frystyk Nielsen, Microsoft Satish Thatte, Microsoft; Dave Winer, UserLande Software, Inc. Pages 1-35. (Herein after referred to as Article 1.)
- \_\_\_\_\_ A36. Security requirements for web-services; Author Jerbic, M.; Report Title: Position papers for World Wide Web consortium (W3C) workshop on web services; pp. 28-33 Issued by: Hewlett-Packard Lab., Bristol, UK; Publication Date: 2001 Country of Publication: UK; 50 pp. (Herein after referred to as Article 2.)
- \_\_\_\_\_ A37. Title: A role-based access control model for XML repositories; Author Hao He; Wong, R.K. Conference Title: Proceedings of the First International Conference on Web Information Systems Engineering; Part vol. 1 p. 138-45 vol. 1 Publication Date: 2000; Country of Publication: USA; 2 vol. (xv+498+xvi+219); pp. ISBN: 0769505775; Material Indentity Number: XX-2000-02089 Conference Title: Proceedings of WISE 2000: 1<sup>st</sup> International Convergence on Web Information Systems Engineering; Conference Dat: 19-21 June 2000 Conference Location: Hong Kong, China (Herein after referred to as Article 3.)

---

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

VIA E-FILE  
Form PTO-1449

Sheet 5 of 7

Applicant: Mark Lucovsky et al.  
Serial No.: 10/003,750  
Filing Date: October 22, 2001  
Confirmation No.: 4906  
For: IDENTITY-CENTRIC DATA ACCESS

Attorney Docket No.: 13768.198.1  
Art Unit: 2152

---

Non-Patent Literature (continued)

Examiner  
Initial\*

- \_\_\_\_\_ A38. Caswell, Deborah L., "An Evolution of DCE Authorization Services," Hewlett-Packard Journal, Vol. 46, No. 6, pages 49-54, December 1995. (Herein after referred to as Article 4.)
- \_\_\_\_\_ A39. Chandramouli, Ramaswamy; "Application of XML Tools for Enterprise-Wide RBAC Implementation Tasks"; ACM Press; 2000; pgs. 11-18. (Herein after referred to as Article 5.)
- \_\_\_\_\_ A40. Vuong et al.; "Managing Security Policies in a Distributed Environment using eXtensible Markup Language (XML)" Proceedings of the 2001 ACM Symposium on Applied Computing (SAC), March 11-14, 2001, Las Vegas, NV; pgs. 405-411. (Herein after referred to as Article 6.)
- \_\_\_\_\_ A41. Stallings, William; Cryptography and Network Security; 1998; Prentice Hall, Inc.; Chapter 11. (Herein after referred to as Article 7.)
- \_\_\_\_\_ A42. Barish, Greg; UNTANGLING THE WEB; Intelligent Enterprise; March 27, 2001; pgs. 38-43. (Herein after referred to as Article 8.)
- \_\_\_\_\_ A43. Dix, Ghris; WORKING WITH SOAP, THE SIMPLE OBJECT ACCESS PROTOCOL; C/C++ Users Journal; January 2002; pgs. 22-33. (Herein after referred to as Article 9.)
- \_\_\_\_\_ A44. Jepsen, Tom; SOAP CLEANS UP INTEROPERABILITY PROBLEMS ON THE WEB; IT Pro; January - February 2001; pgs. 52-55. (Herein after referred to as Article 10.)

---

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

VIA E-FILE  
Form PTO-1449

Sheet 6 of 7

Applicant: Mark Lucovsky et al.  
Serial No.: 10/003,750  
Filing Date: October 22, 2001  
Confirmation No.: 4906  
For: IDENTITY-CENTRIC DATA ACCESS

Attorney Docket No.: 13768.198.1  
Art Unit: 2152

---

Non-Patent Literature (continued)

Examiner  
Initial\*

- \_\_\_\_\_ A45. X MARKS THE PATH; JNJ Online;  
[http://www.dnjonline.com/articles/essentials/iss25\\_essentials\\_xpath.asp](http://www.dnjonline.com/articles/essentials/iss25_essentials_xpath.asp); January  
3, 2002; 6 pgs. (Herein after referred to as Article 11.)
- \_\_\_\_\_ A46. SOAP VERSION 1.2 Part 1: MESSAGING FRAMEWORK;  
<http://www.w3.org/TR/2002/WD-soap12-part1-20011002>; November 30, 2001;  
33 pgs. (Herein after referred to as Article 12.)
- \_\_\_\_\_ A47. SOAP VERSION 1.2 PART 2: ADJUNCTS; <http://www.w3.org/TR/2001/WD-soap12-part2-20011002>; October 30, 2001; 43 pgs. (Herein after referred to as  
Article 13.)
- \_\_\_\_\_ A48. WML PATH LANGUAGE (XPATH) VERSION 1.0;  
<http://www.w3.org/TR/1999/REC-xpath-19991116>; October 30, 2001; 35 pgs.  
(Herein after referred to as Article 14.)

---

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

VIA E-FILE  
Form PTO-1449

Sheet 7 of 7

Applicant: Mark Lucovsky et al.

Serial No.: 10/003,750

Attorney Docket No.: 13768.198.1

Filing Date: October 22, 2001

Art Unit: 2152

Confirmation No.: 4906

For: IDENTITY-CENTRIC DATA ACCESS

---

### References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

AHY0000000978V001

---

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.